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## APPLICATION FOR RECORDS RETENTION SCHEDULE

OFFICE OF THE SECRETARY OF STATE  
DEPARTMENT OF ARCHIVES AND HISTORY  
RECORDS MANAGEMENT DIVISION

INSTRUCTIONS: See Publication No. 78-RM-1 for instructions on completing this form. Forward signed original to Department of Archives and History, Records Management Division, 330 Capitol Avenue, Atlanta, Georgia, 30334. Attention: Scheduling Section.

FOR AGENCY USE		FOR RECORDS MANAGEMENT USE	
Application Date	1. Agency Address  Department of Offender Rehabilitation Probation Services Division #2 M.L.K. Jr. Drive-East Tower Atlanta, GA 30334	Application Number <b>159-A</b>	
Application Number		Date Received <b>OCT 02 1984</b>	Date Completed <b>NOV 29 1984</b>
2. Person to Contact  Susan Davis		Working Title  Records Management Officer	Telephone Number  656-5561
3. Action Requested a. <input type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input checked="" type="checkbox"/> Amend Application No. <u>159</u> Check One: <input checked="" type="checkbox"/> Change; <input type="checkbox"/> Supersede; <input type="checkbox"/> Void			
4. Dates of Series Earliest      Latest 1956          Present		5. Records Series Title (followed by title used in office, if different)  Probationer Case History Files (AGENCY-WIDE COMMON SCHEDULE)	
6. Division and Office Function      What is the function of the Division and the Office in which this record series is created?  Probation Services Division provides professional services to the criminal justice system for the protection of the community at large. Professional services is directed toward affecting the social adjustment of probationers, and through the systematic implementation of such intervention strategies as surveillance, counseling, referral, and collection of fines, restitution and/or court costs.			
7. Record Series Description  Documents relating to:  Included are:		This file contains the following documents (include form numbers and titles, if any): Attach samples of the file.  Recording supervision and progress of probationers assigned to State Probation Offices.  Individual case folders for each probationer containing supervision data sheets; "Case History/Field Sheet" C.B.S.; Screening Form; Order of Probation; pre-sentence and/or post-sentence investigation reports; correspondence; ledger sheets/account statements showing receipt and disbursement of payments made by probationers.	
File is arranged:		Alphabetically by name of probationer.	
8. Monthly Reference Rate		How often are records referred to which are: One to six months old <u>3</u> ; Seven to twelve months old <u>2</u> ; Thirteen to twenty-four months old <u>1</u> ; twenty-five months and older <u>?</u>	
9. Annual Rate of Accumulation of Records Letter-size drawers _____; Legal-size drawers _____; Shelves _____; Other (specify) <u>Varies from office to office</u>			

YES	NO	10. Questionnaire (Place an "X" in the proper column)
X		a. Is this the official copy of the series? If not, where is it?
X		b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation. GA. Code 42-8-40
	X	c. Is this a vital record?
	X	d. Does this series have historical or long term research value?
	X	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
	X	f. Is the information contained in this series ever published? If yes, attach copy.
	X	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
X		h. Is there a duplication of this series in your office, or in another office or agency? If yes, where? Notification of Probation and/or discharge to G.C.I.C.
	X	i. Is this series (or a major portion of it) regularly microfilmed?
X		j. Does the record series result in a computer printout? Probation Data Bank

11. Retention Requirements The following requires the series to be kept:

a. State Law	_____ years.	d. Audit period	_____ years.
b. Statute of limitation	_____ years.	e. Administrative need	4 _____ years.
c. Federal law	_____ years.	f. Federal retention instructions	_____ years.

Attach copy or excerpt of laws or regulations. Explain administrative need.

Files are needed for continuing reference as long as probationer is on probation.  
Inactive files are needed for four years with the exception of the File Index Card.  
This card records all the information contained in the Probation Case History File  
and is kept permanently.

12. Approved Disposition Instructions This agency recommends that the file series be cut off at the end of each:

☐ Calendar Year; ☐ Fiscal Year; ☒ Other See Below \_\_\_\_\_ then,

☐ Hold in the current files area \_\_\_\_\_ month(s) \_\_\_\_\_ year(s); then

☐ Transfer to local holding area; hold \_\_\_\_\_ year(s); then

☐ Transfer to State Records Center; hold \_\_\_\_\_ year(s); then

☐ Destroy.

☐ Transfer to State Archives for permanent retention.

☒ Other (Specify)

Upon fulfillment of terms of probation, or upon release by the court prior to the termination of the period thereof, remove corresponding probationer's case folder from active file and place in inactive file; cut off inactive file at end of each calendar year; then transfer to local holding area; hold 4 years; then destroy.

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
<i>[Signature]</i>		<i>[Signature]</i>	9/21/84
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)		State Records Committee (Signature)	Date
		State Auditor/Designee	11-5-84
		Secretary of State/Designee	11/1/84
		Attorney General/Designee	11/2/84

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RECORDS DISPOSITION STANDARDOFFICE OF SECRETARY OF STATE  
DEPARTMENT OF ARCHIVES & HISTORY  
RECORDS MANAGEMENT DIVISIONPAGE  
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1. Application Date <b>May 17, 1972</b>		<b>INSTRUCTIONS:</b> See separate instructions for completion of front and reverse of this form. Sign original and two copies and forward to Department of Archives and History, Attention: Records Management Officer.		FOR RECORDS MANAGEMENT DIVISION USE Date Received      Application No.      Date Completed <b>MAY 31 1972</b> <b>159 JUN 1 1972</b>	
3. AGENCY, Division, Subdivision & Administering Office Address <b>State Probation Department 821 Trinity-Washington Bldg. Atlanta, Georgia 30334</b>				4. Person to Contact <b>Mrs. Viva Jones</b>	
				5. Working Title <b>Office Supv.</b>	6. Tel. No. <b>656-2977</b>
7. ACTION REQUESTED <input checked="" type="checkbox"/> ESTABLISH DISPOSITION STANDARD; RECORD WILL CONTINUE TO ACCUMULATE. <input type="checkbox"/> DISPOSE OF PRESENT ACCUMULATION; NO FURTHER ACCUMULATION ANTICIPATED.					
8. Inclusive Dates		9. EXACT SERIES TITLE <b>Individual Probationer Folder Files</b>			
10. What is the function of the office in which this record series is created <p>These records accumulate in the sixty local and area probation offices which are under the supervision of the State Probation Department and are created as a result of carrying out (but not limited to) the following activities: (1) Serving as a system for probation for county courts in the State. (2) Supervising probationers. (3) Making pre-sentence investigations at the request of Judges. (4) Collecting funds from probationers on fines, court costs, restitution or child support imposed, and disbursing such funds to the appropriate receiving agencies. (5) Counseling probationer and family to assist in the rehabilitation of an offender. (6) Job placement and other activities. (7) Recommending revocation of probation. (8) Making monthly reports and keeping statistics.</p>					
11. DESCRIPTION OF SERIES - Include Form No. & Form Title, if any and file arrangement <p>Inactive individual probationer folder files - Each probationer folder file will include the following: Legal-size file folder, Form 1 (Case History), Form 2 (Copy of Order of Probation), Form 3 (Presentence Report, if made), and copies of correspondence to or about the probationer.</p> <p>(Samples attached)</p>					
12. EQUIPMENT OCCUPIED		No. of Drawers	Cu. Ft. of Records	ANNUAL RATE OF ACCUMULATION	
Letter-size File Drawers					
Legal-size File Drawers				FLOOR SPACE OCCUPIED (Square Feet)	
				In Office(s)      In Storage Area(s)	
				This Year's      Last Year's      Preceding Year's      All Prior Years'	
				AVERAGE DAILY REFERENCES	

QUESTIONNAIRE Place an "x" in the proper column. If answer is "YES," please explain

YES NO

13. Is this the Record Copy of the series? ☐ YES ☐ NO
14. Is there a duplication of this series in another office or agency? ☐ YES ☐ NO
15. Is the information contained in this series ever summarized or published? (See attached) ☒ YES ☐ NO
16. Does the series contain classified information requiring security handling? ☐ YES ☐ NO
17. Does the series document policies and procedures of agency's operation or function? ☐ YES ☐ NO
18. Could the function be performed if the files were lost or destroyed? ☐ YES ☐ NO
19. Is the series (or major portion of it) regularly microfilmed? If yes, why? ☐ YES ☐ NO
20. Does the record series provide data as input to an EDP file? ☐ YES ☐ NO
21. Does the record series contain documentation produced as EDP printout? ☐ YES ☐ NO
22. Is the series affected by Federal or grant funds? ☐ YES ☐ NO
23. Will there be a need for these records 10, 15 years from now? If yes, what? ☐ YES ☐ NO

24. REQUIREMENTS. The following requires the files to be kept 5 years:

- a. ☐ STATE LAW    b. ☐ STATUTE OF LIMITATION    c. ☐ AUDIT PERIOD    d. ☐ FEDERAL LAW    e. ☒ ADMINISTRATIVE DECISION    f. ☐ HISTORICAL VALUE  
(Cite Law, Statute, or other reason for the retention requirement)

25. AGENCY RECOMMENDATIONS. This agency recommends that the file series be cut off at the end of each ☐ CALENDAR YEAR ☐ FISCAL YEAR ☒ OTHER Upon termination of probation, then: transfer to inactive file

A. ☐ Destroy immediately after cut off.

B. ☒ Hold in current files area        month(s) / 5 year(s), then:

1 ☒ Destroy.

2 ☐ Transfer to records center; hold        year(s), then: Destroy.

3 ☐ Destroy after audit (or        year(s) after audit).

C. ☐ Hold in current files area indefinitely.

D. ☐ Hold in current files area        (        year(s), then transfer to Archives permanently.

E. ☐ Other

(Indicate briefly rationale for recommendations above/or write additional remarks):

Attach Samples of the Series

26. Recommendations in Paragraph 25 are:		Head of Agency	Date
<input type="checkbox"/> Approved <input type="checkbox"/> Disapproved	<input type="checkbox"/> Approved <input type="checkbox"/> Disapproved	<i>William M. Jones</i>	<i>5-30-72</i>
<input checked="" type="checkbox"/> Approved <input type="checkbox"/> Disapproved	<input type="checkbox"/> Approved <input type="checkbox"/> Disapproved	<i>William M. Jones</i> Deputy of Audits	<i>6-1-72</i>
<input checked="" type="checkbox"/> Approved <input type="checkbox"/> Disapproved	<input type="checkbox"/> Approved <input type="checkbox"/> Disapproved	<i>Carol West</i> Secretary of State Designee	<i>6-1-72</i>
<input checked="" type="checkbox"/> Approved <input type="checkbox"/> Disapproved	<input type="checkbox"/> Approved <input type="checkbox"/> Disapproved	<i>Carol West</i> Dept. of Law	<i>6-1-72</i>

Section 15:

All of the information contained in these folder files are summarized and kept on the Field Index cards (Forms 22 and 22a) and Field Book Sheets (Form 6 and 6a). These two (2) sets of forms (Field Index Cards and Field Book Sheets 6 and 6a) will be kept permanently on each probationer. The original Order of Probation is filed on permanent record in the Clerk of Court's office

( Copies of forms described above are attached)